

PATENT

Attorney Docket No. 00044X215193

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

CHOU et al.

Group Art Unit: Unassigned

Application No. Unassigned

Examiner: Unassigned

Filed: January 10, 2002

For: AMMONIUM OXALATE-CONTAINING  
POLISHING SYSTEM AND METHOD



INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
Washington, D.C. 20231

Pursuant to 37 CFR 1.97 and 1.98, the references listed on the enclosed Form PTO-1449 and or Substitute Form PTO-1449 ("Form 1449") are submitted for consideration by the Examiner in the examination of the above-identified patent application.

The full consideration of the references in their entirety by the Examiner is respectfully requested and encouraged. Also, it is respectfully requested that the references be entered into the record of the present application and that the Examiner place his or her initials in the appropriate area on the enclosed Form 1449, thereby indicating the Examiner's consideration of each of the references.

The submission of the references listed on the Form 1449 is for the purpose of providing a complete record and is not a concession that the references listed thereon are prior art to the invention claimed in the patent application. The right is expressly reserved to establish an invention date earlier than the above-identified filing date in order to remove any reference submitted herewith as prior art should it be deemed appropriate to do so.

Further, the submission of the references is not to be taken as a concession that any reference represents art that is relevant or analogous to the claimed invention. Accordingly, the right to argue that any reference is not properly within the scope of prior art relevant to an examination of the claims in the above-identified application is also expressly reserved.

The Information Disclosure Statement is being filed:

- ☐ **within** any one of the following time periods: (a) within three months of the filing date of a national application other than a continued prosecution application under 37 CFR 1.53(d); (b) within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 of an international application; (c) before the mailing date of a first Office Action on the merits; or (d) before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.

- ☐ **after** (a), (b), (c) or (d) above, but before the mailing date of a final action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an action that otherwise closes prosecution in the application, and includes *one* of:
- ☐ the Statement under 37 CFR 1.97(e) (see "Statement under 37 CFR 1.97(e)" below).
- or*
- ☐ the fee of \$180 set forth in 37 CFR 1.17(p) (see "Fees" below).
- ☐ **after** the mailing date of a final action under 37 CFR 1.113 or a Notice of Allowance under 37 CFR 1.311, or an action that otherwise closes prosecution in the application, and on or before payment of the issue fee, and includes the Statement under 37 CFR 1.97(e) (see "Statement under 37 CFR 1.97(e)" below), and the fee of \$180 as set forth in 37 CFR 1.17(p) (see "Fees" below).
- ☐ **after** the mailing date of a Notice of Allowance under 37 CFR 1.311, and on or before payment of the issue fee, and **within** thirty days of receiving each item of information contained in the Information Disclosure Statement, and includes the Statement under 37 CFR 1.704(d) (see "Statement under 37 CFR 1.704(d)" below), and the fee of \$180 as set forth in 37 CFR 1.17(p) (see "Fees" below).

NOTE: This is for original applications except applications for a design patent, filed on or after May 29, 2000, wherein a paper containing only an Information Disclosure Statement in compliance with 37 CFR 1.97 and 1.98 is being filed.

#### Copies of the References

- ☒ Copies of the references listed on the enclosed Form 1449 are enclosed herewith. Attached to each reference not in the English language is a concise explanation of the relevance pursuant to 37 CFR 1.98(a)(3).
- ☐ A copy of the foreign search report is enclosed herewith.
- ☐ The references listed on the enclosed Form 1449 were previously identified in the parent application(s) of the present application, and copies of the references were furnished at that time. Accordingly, additional copies of the references are not submitted herewith, so as not to burden the file with duplicate copies of references. The Examiner is respectfully requested to carefully review the references in accordance with the requirements set out in the Manual of Patent Examining Procedure. In accordance with 37 CFR 1.98(d), the details of the parent application(s) relied upon for an earlier filing date under 35 USC 120 in which copies of the references were previously furnished are set out below:

In re Appln. of CHOU et al  
Application No. Unassigned

31046 U.S. PTO  
10/043534  
01/10/02

U.S. APPLICATIONS		Status ( <i>check one</i> )		
U.S. APPLICATIONS	U.S. FILING DATE	PATENTED	PENDING	ABANDONED
1.				
2.				
3.				

**Statement under 37 CFR 1.97(e)**

- ☐ The **undersigned** hereby states that each item of information contained in the Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign patent application not more than three months prior to the filing of the Information Disclosure Statement.
- ☐ The **undersigned** hereby states that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign patent application, and, to the knowledge of the undersigned after making reasonable inquiry, no item of information contained in the Information Disclosure Statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the Information Disclosure Statement.

**Statement under 37 CFR 1.704(d)**

- ☐ The **undersigned** hereby states that each item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application and that this communication was not received by any individual designated in 37 CFR 1.56(c) more than thirty days prior to the filing of the Information Disclosure Statement.

**Fees**

- ☒ **No fee** is owed by the applicant(s).
- ☐ The **IDS Fee of \$180** under 37 CFR 1.17(p) is enclosed herewith.

**Method of Payment of Fees**

- ☐ Attached is a check in the amount of \$ .
- ☐ Charge Deposit Account No. 12-1216 in the amount of \$ . (A duplicate copy of this communication is enclosed for that purpose.)

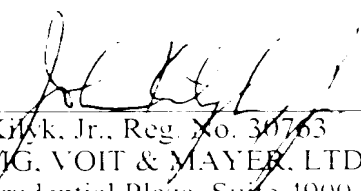
In re Appln. of CHOU et al  
Application No. Unassigned

**Authorization to Charge Additional Fees**

- ☐ If any additional fees are owed in connection with this communication, please charge Deposit Account No. 12-1216. (A duplicate copy of this communication is enclosed for that purpose.)

**Instructions as to Overpayment**

- ☒ Credit Account No. 12-1216.  
☐ Refund

  
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Date: January 10, 2002



Substitute for form 1449A-B PTO

# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

Use as many sheets as necessary.

Sheet

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of

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## Complete if Known

Application Number	Unassigned
Filing Date	January 10, 2002
First Named Inventor	Homer CHOU
Group Art Unit	Unassigned
Examiner Name	Unassigned
Attorney Docket Number	00044X215193

11046 U.S. PTO  
10/043534



## U.S. PATENT DOCUMENTS

Examiner Initials	Doc. No.	U.S. Patent Document		Name of Patentee or Applicant	Date of Publication	Filing Date If Appropriate
		Application or Patent Number	Kind Code			
	AA	3,770,530		Fujimoto	November 6, 1973	
	AB	3,948,703		Kushibe	April 6, 1976	
	AC	4,086,176		Ericson et al.	April 25, 1978	
	AD	4,337,114		Russell et al.	June 29, 1982	
	AE	4,374,744		Kawanabe et al.	February 22, 1983	
	AF	4,671,851		Beyer et al.	June 9, 1987	
	AG	4,705,594		Zobbi et al.	November 10, 1987	
	AH	4,910,155		Cote et al.	March 20, 1990	
	AI	4,944,836		Beyer et al.	July 31, 1990	
	AJ	4,954,142		Carr et al.	September 4, 1990	
	AK	4,959,113		Roberts	September 25, 1990	
	AL	5,084,071	A	Nenadic et al.	January 28, 1992	
	AM	5,154,759	A	Cifuentes et al.	October 13, 1992	
	AN	5,174,813	A	Cifuentes et al.	December 29, 1992	
	AO	5,225,034	A	Yu et al.	July 6, 1993	
	AP	5,230,833	A	Romberger et al.	July 27, 1993	
	AQ	5,258,063	A	Cifuentes et al.	November 2, 1993	
	AR	5,261,951	A	Sejpkal et al.	November 16, 1993	
	AS	5,391,258	A	Brancaleoni et al.	February 21, 1995	
	AT	5,407,526	A	Danielson et al.	April 18, 1995	
	AU	5,439,783	A	Akiyama et al.	August 8, 1995	
	AV	5,486,234	A	Contolini et al.	January 23, 1996	
	AW	5,527,423	A	Neville et al.	June 18, 1996	
	AX	5,540,810	A	Sandhu et al.	July 30, 1996	
	AY	5,575,837	A	Kodama et al.	November 19, 1996	
	AZ	5,575,885	A	Hirabayashi et al.	November 19, 1996	
	BA	5,614,444	A	Farkas et al.	March 25, 1997	
	BB	5,637,185	A	Murarka et al.	June 10, 1997	
	BC	5,726,099	A	Jaso	March 10, 1998	
	BD	5,750,440	A	Vanell et al.	May 12, 1998	
	BE	5,767,016	A	Muroyama	June 16, 1998	
	BF	5,770,095	A	Sasaki et al.	June 23, 1998	
	BG	5,773,364	A	Farkas et al.	June 30, 1998	
	BH	5,783,489	A	Kaufman et al.	July 21, 1998	
	BI	5,800,859	A	Price et al.	September 1, 1998	
	BJ	5,849,051	A	Beardsley et al.	December 15, 1998	
	BK	5,849,052	A	Barber, Jr.	December 15, 1998	
	BL	5,858,813	A	Scherber et al.	January 12, 1999	
	BM	5,863,638	A	Harvey	January 26, 1999	

Examiner Signature

Date Considered

\* A concise statement of relevance is being submitted in lieu of a translation. 37 CFR 1.98(a)(3).

+ An English-language equivalent patent, or an English-language abstract, or an English-language version of the search report or action by a foreign patent office, or a counterpart foreign application indicating the degree of relevance found by the foreign office is being submitted in lieu of a concise explanation of relevance under 37 CFR 1.99(a)(3).

